

# CUSTOMER RELATIONSHIP SUMMARY

June 20, 2024

## Introduction

360 ONE Asset Management Limited (360 ONE) is registered with the U.S. Securities and Exchange Commission (SEC) as an investment adviser. Brokerage and investment advisory services and fees differ and it is important for you to understand these differences. Free and simple tools are available to research firms and financial professionals at <https://www.investor.gov/CRS>, which also provides educational materials about broker-dealers, investment advisers, and investing.

## What investment services and advice can you provide me?

360 ONE offers a range of investment related services to its clients including but not limited to fee based advisory services, discretionary and non-discretionary portfolio management services, and sub-advisory services to Investment Managers. Clients can invest in proprietary alternative fund investments managed by 360 ONE. 360 ONE's advisory business is limited to India-focused securities investments. There are no account fee minimums for our services. There is a minimum investment threshold of INR 0.5 million (\$60,000 USD) for separately managed accounts, and INR 10 million (\$120,000 USD) for investing in the alternative fund investments.

If you wish to obtain any services offered by us, we will meet with you to understand your current financial situation, existing resources, goals, and risk tolerance. Based on what we learn, we'll recommend a portfolio of investments that is regularly monitored (at least annually), and if necessary, rebalanced to meet your changing needs, stated goals and objectives.

If you open an account with us for discretionary portfolio management, you will not be consulted before buying and selling securities in your account. You will sign a portfolio management agreement giving us this authority. This agreement will remain in place until you, or we, terminate the relationship. If you opt for non-discretionary services, you will make the ultimate decision regarding the purchase or sale of investments. Additional information about our advisory services is in Item 4 of our [Form ADV Part 2A](#).

### **Conversation Starter. Ask your financial professional:**

- **Given my financial situation, should I choose an investment advisory service? Why or why not?**
- **How will you choose investments to recommend to me?**
- **What is your relevant experience, including your licenses, education and other qualifications?**
- **What do those qualifications mean?**

## What fees will I pay?

Fees and charges that shall be paid by the clients under Portfolio Management Services and Advisory Services are specified in the Client Agreement executed with each client. Fees may vary depending upon complexity, investment objective, geographical location, services offered, account relationship etc. 360 ONE shall charge fees including but not limited to performance fees, asset-based fees or combination of performance based or asset-based fees in line with the applicable regulations. Depending on the agreement, the fees may be paid directly by the client or deducted from assets under management. An illustration on how the fees are calculated accompanies the account opening documents.

You will pay fees and costs whether you make or lose money on your investments. Fees and costs will reduce any amount of money you make on your investments over time. Please make sure you understand what fees and costs you are paying. Other firms may charge higher or lower fees on the same or similar investment opportunities to those that are offered by 360 ONE. 360 ONE does not participate in wrap fee programs.

The Custodian that holds your assets can charge you a transaction fee when we buy or sell an investment for you. The custodians' transaction fees are in addition to our advisory fee for our investment advisory service. Additional information about our fees is located in Item 5 of our [Form ADV Part 2A](#).

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**Conversation Starter. Ask your financial professional:**

- Help me understand how these fees and costs will affect my investments.
- If I give you \$10,000 to invest, how much will go to fees and costs and how much will be invested for me?

## **What are your legal obligations to me when acting as my investment adviser? How else does your firm make money and what conflicts of interest do you have?**

When we act as your investment adviser, we have to act in your best interest and not put our interest ahead of yours. At the same time, the way we make money creates some conflicts with your interests. You should understand and ask us about these conflicts because they can affect the services and investment advice we provide you. Here are some examples to help you understand what this means:

- 360 ONE uses the services of its broker affiliate for execution of securities transactions, and the client will pay a transaction fee separate from their advisory fee;
- 360 ONE manages proprietary Funds, for which they receive a management or performance fee;
- The firm's revenue is derived from the advisory fees we collect from your account, thus there is an incentive for your account to increase in value;
- 360 ONE will effect principal or cross transactions if it benefits the client, and complies with 360 ONE's policies and procedures, and applicable laws and regulations.

Additional information about our conflicts of interest can be found in Item 11 of our [Form ADV Part 2A](#).

**Conversation Starter. Ask your financial professional:**

- How might your conflicts of interest affect me, and how will you address them?

## **How do your financial professionals make money?**

Our financial professionals are employees of the firm and are paid a fixed monthly salary. They also receive bonuses at the discretion of 360 ONE's NRC (Nomination, Remuneration and Compensation) Committee based upon the success of the firm and performance of the employees. Neither 360 ONE nor any of its employees receives compensation for the sale of securities to our clients. 360 ONE receives no compensation from any fund manager or other third-party for the investments that it selects for client accounts.

## **Do you or your financial professionals have legal or disciplinary history?**

No. For a free and simple search tool to research our firm and our financial professionals, please visit:

<https://www.investor.gov/CRS>.

**Conversation Starter. Ask your financial professional:**

- As a financial professional, do you have any disciplinary history?
- For what type of conduct?

## **Additional Information**

You can find additional information about our firm's investment advisory services on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by clicking on the FIRM tab and then searching CRD #300914. If you would like additional, up-to-date information or a copy of this disclosure, please call +91 022 4876 5600, or write to us via email at [investordesk@iiflw.com](mailto:investordesk@iiflw.com).

**Conversation Starter. Ask your financial professional:**

- Who is my primary contact person?
- Who can I talk to if I have concerns about how this person is treating me?
- Is he or she a representative of an investment advisor or a broker-dealer?